OSD AND NRO review(s) completed. NRO review(s) completed. NASA Review Completed.

18 December 1979

MEMORANDUM FOR CHAIRMAN, POLICY REVIEW COMMITTEE (SPACE) (S)

SUBJECT: Implementation Plan for Technology Sharing (U)

(S/TK) The attached Implementation Plan for Technology Sharing, prepared by the Program Review Board (PRB) in response to PD/NSC-42, is a revision of a plan originally submitted to you on 31 July 1979. The major changes in the plan are:

(C) o Addition of the Intelligence Research and Development Council (IRDC) as an existing mechanism for technology sharing.

(U) o A discussion of the factors, particularly industry competitiveness, which aid the technology sharing process.

(U) o Direction to the agencies to implement regulations forcing action which will insure technology sharing.

(U) o Establishment of an annual review and reporting procedure that will not only insure the exchange of technology among the space program sectors but also the documentation thereof.

(S/TK) o Inclusion of NOAA as a member of the PRB and its subcommittees because of NOAA's broadened responsibilities under PD/NSC-54.

(U) o Inclusion of DARPA and NOAA on the Technology Review Committee.

(C) o Recommendation that the DCI include NOAA and NASA as observers on the IRDC.

(U) The language of that portion of the plan directing the implementation of regulations forcing action has been carefully chosen. At first it appeared desirable to fully document in concept and design proposals the consideration of all technology and previously developed hardware at the subsystem or major component level. However, after further analysis, the Board concluded such direction would be likely to result in an inordinately large expenditure of resources for the expected result. Also, there were problems in structuring wording that would apply to the various procurement philosophies. The intent of this plan is sufficiently clear

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to enable individual agencies to establish procedures compatible with their own acquisition regulations that will provide for adequate documentation.

(U) We believe the revised plan meets the objectives outlined in PD/NSC-42 regarding technology sharing.

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ATTACHMENT

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TECHNOLOGY SHARING IMPLEMENTATION PLAN

I. PURPOSE (U)

(S/TK) This implementation plan outlines steps to enhance technology sharing between the intelligence, military and civil space sectors while maintaining necessary security and current management relationships. This action was assigned to the PRB in PD/NSC-42. The Board has completed its review of existing coordinating mechanisms and procedures, and also the status of current technology exchange between the sectors. This plan is the result of that review.

II. OBJECTIVE (U)

(U) Any technology transfer arrangement must be structured to ensure that widest possible use is made of whatever technology is generated or transferred, subject to the constraints that disclosures of such technology do not diminish the effectiveness of any program or project, or adversely affect national security.

III. BACKGROUND (U)

(S/TK) A. Program Review Board (PRB) - The PRB was established in 1975 as a follow-on to prior interagency efforts. It was chartered by an agreement between the Secretary of Defense, the Director of Central Intelligence, and the Administrator of the National Aeronautics and Space Administration. The Board was created to provide a compartmented level forum for program review among the DOD, NRO, CIA, and NASA.

(S/TK) The PRB is charged with resolving interagency program policy issues, recommending changes in program direction, and reporting to agency heads on issues not resolved by the Board. The Board principals are the Under Secretary of Defense for Research and Engineering, the Deputy Administrator of NASA, the Director of the National Reconnaissance Office, the Deputy Director of Science and Technology of the Central Intelligence Agency. When meteorological/oceanographic matters are involved, the Associate Administrator of the National Oceanographic and Atmospheric Administration participates as a member. The Board meets at the call of any member, each of whom is a policy level official of his agency with

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programmatic authority. In the technology exchange area, the PRB has been primarily concerned with assuring the transfer of technology between the intelligence and civil sectors, as well as between the military and civil sectors. The Board is supported by a Technology Review Committee and Data and Information Release Committee. The latter Committee is charged with maintaining a current overview of policies and procedures relating to earth oriented science and applications data and information release. The Committee is chaired by NASA and includes the same organizational representation as the PRB.

(S/TK) The Technology Review Committee, whose current membership includes DOD, NASA, CIA and NRO representatives, and NOAA when appropriate, is charged with enhancing the technology flow between the intelligence, military and civil sectors and the flow into the public domain. It coordinates the development, transfer and public release of new technologies and refers to the Board issues and problems not resolved at the Committee level.

(S/TK) B. Aeronautics and Astronautics Coordination Board (AACB). The AACB, its panels and panel subcommittees, complements the PRB in providing a forum to facilitate program and facility coordination between NASA and the DOD. Technology sharing between military and civil programs is also coordinated, especially in areas that are unclassified or minimally classified. The AACB meets approximately four times per year on issues of major concern to DOD and NASA. It is co-chaired by the Under Secretary of Defense for Research and Engineering and the Deputy Administrator of NASA, both of whom are also members of the PRB. The members from each agency are in a position within their respective agencies to resolve issues and to implement agreed actions. Where appropriate, the AACB has invited the participation of other civil agencies. The AACB is supported by a number of working level groups and four continuing panels dealing with space: Manned Space Flight and Launch Vehicles, Space Flight Ground Environment, Supporting Research and Technology, and Unmanned Spacecraft.

(C) C. Intelligence Research and Development Council (IRDC). The IRDC was established as a permanant advisory committee to the Director of Central Intelligence. The Council is chaired by the Under Secretary of Defense for Research and Engineering and its membership reflects the entire spectrum of the Intelligence and R&D communities. It normally meets ten times a year. The IR&DC explores

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new directions and techniques in the hard and soft sciences which hold promise for intelligence and identifies those it recommends for program resource support and application. The Council maintains continuing inter-program communications of technical results, concepts and plans in critical technologies.

D. Current Procedures (U)

(U) The organizations which review technology sharing are discussed in the previous paragraphs. However, formal specific procedures to insure technology is shared between the three sectors of the United States space program are primarily established at the field level organizations. Furthermore, technology sharing occurs principally because of the sharp competitiveness of the Aerospace industry.

(U) This competitiveness plays a dual role in establishing the technology base for the U.S.: first, new proprietary technology is developed to improve product and sales potentials; second, in proposals for government work, the national base of U.S. Government-sponsored technology across the entire industrial spectrum must be considered if the proposer is to have a chance of winning. The bidding process itself encourages the sharing of technology because it is often less costly to use an existing capability than to develop a new one. This aspect is manifested in such documents as the "make or buy" plan which the Department of Defense requires as part of its proposal. NASA proposals also include technology "risk" (i.e., new versus existing) as a significant discriminator in its source evaluation process. NOAA traditionally insists on the use of mature techniques in its operational space and ground systems.

(U) The experts in a given field, both in industry and government, generally keep abreast of all activity in their respective fields. Additionally, each component of the major federal agencies concerned with development and acquisition has an office which is specifically charged with the principal responsibility of keeping abreast of activity in the various fields of technology in which his organization has an interest. This function is designed to insure program efficiency and avoid program duplication. This process is facilitated by the fact that although a complete system, e.g. a spacecraft, may be classified, many subsystems or component technologies are unclassified.

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IV. IMPLEMENTATION (U)

(S/TK) A. The PRB will:

(U) 1. Have principal responsibility within the government for effecting technology transfer between the space sectors.

(U) 2. Report annually to the PRC (Space) by 30 July on progress made in effecting technology sharing.

(U) 3. Meet at least semi-annually.

(U) 4. As a result of the broadened responsibilities assigned by PD-54, include NOAA as a member.

(C) 5. Recommend to the DCI that NOAA and NASA be included as observers on the IR&DC.

(U) 6. Establish a mechanism to adjudicate issues which may arise over denials for access to classified technology. This process will include methods to:

(U) a. Validate the need or benefit of classified technology for civil use.

(U) b. Validate the risk or impact associated with the transfer.

(U) 7. Refer an issue to the NSC when it cannot otherwise be resolved.

(S/TK) 8. The Technology Review Committee, as part of the PRB, will:

(U) (a) Meet at least semi-annually, or at the request of its members, to review and assess the status of existing technology sharing and new requests for technology transfer.

(U) (b) Maintain contact with the AACB to be alert to significant technology issues arising within that forum.

(U) (c) Include NOAA and DARPA as members of the Committee.

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(U) (d) Provide for reviews of new major technology thrusts and new programs annually. These reviews shall address planned new major technology efforts and acquisition starts for the next year. This process, where appropriate, will consider the use of new technology or existing technology. If feasible, requirements for new technology should be addressed. These reviews are not intended to be an approval forum, but are designed to examine opportunities for sharing and development.

(S/TK) (e) Prepare an annual report to the PRB by 30 June. This report shall include a review of the past year's technology sharing, a by-agency summary of all legitimate requests for technology, any technology requests denied, potential problem areas, and areas of interest for future efforts. An integral part of the report will be the results of the annual reviews of new major technology efforts and new programs.

(U) B. The AACB will:

(U) 1. Facilitate coordination of programs and the exchange of information between NASA and DOD at all levels.

(U) 2. Recommend areas of sharing opportunities, as appropriate.

(S/TK) 3. Inform the PRB of problems that develop in the exchange of information.

(U) C. NASA will:

(U) 1. Endeavor to further enhance the interaction between industry and the interagency review process.

(U) 2. Serve as a focal point for receiving requests for classified technology sharing from industry and civil government users; evaluate and forward as appropriate, legitimate requests to the controlling department or agency.

(C) 3. Insure proper security procedures are applied in providing information to industry and civil government requestors. This will include close coordination with intelligence and military sector sponsors of the original technology efforts when a potential technology transfer involves their interests.

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(U) 4. Prior to issuing an RFP, be particularly alert to detect areas where existing technology would satisfy needs. The RFP should require that existing technology be used where feasible (not applicable where the development of advanced or new technology is a specific program objective to preserve the role of the U.S. as a leader in aeronautics and space science and technology). Where appropriate arrange for briefings for industry from holders of that technology.

(U) D. All agencies involved in development and/or acquisition of space systems will:

(U) 1. Implement regulations applicable to the development and acquisition of new space systems containing specific direction to insure that pertinent existing technology and hardware are thoroughly considered in the development of the system requirements, specifications and design approaches. These considerations shall be documented in accordance with the procedures established by each agency or department.

(U) 2. Insure that regulations provide for the handling of requests for the sharing of technology in accordance with Paragraphs IV. A, B and C.

(U) 3. Maintain a record of all legitimate requests for classified or otherwise not readily available technology for inclusion in the annual progress report.

(S/TK) 4. Establish procedures whereby legitimate requests for technology sharing and the results of those requests are recorded and forwarded to the PRB for inclusion in the annual report.

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